

CHANGES APRIL 1, 2004 THROUGH NOVEMBER 30, 2004

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

Title 17 Nomenclature change.....18803

Chapter I—Commodity Futures Trading Commission (Parts 1—199)

1.10 (c), (e)(1), (2) and (f)(2) amended.....	41425
(b)(1), (2)(i), (c), (d)(4), (e) and (f) revised	49795
(c)(3) and (f)(1)(ii)(B) corrected; (j)(8)(ii) correctly revised.....	55949
1.12 (i)(1) amended	41426
(a)(1), (b)(1), (2), (3), (4), (c), (d), (e), (f), (h) and (i)(1) revised	49797
1.16 (d)(1) amended.....	41426
(f) revised	49798
1.17 (h)(3)(vi) amended	41426
(a)(1)(i)(B), (b)(4), (e)(1)(i), (ii), (h)(2)(vi)(C)(I), (2), (vii)(A)(I), (2), (vii)(B)(I), (2), (vii)(A)(I), (2), (3)(ii)(A), (B), (v)(A), (B) and (vii) revised; (b)(7) and (8) added	49799
(a)(2)(ii) correctly amended.....	55949
1.18 (b) revised	49800
1.23 Amended	41426
1.30 Amended	41426
1.46 (a) introductory text revised	59545
4.13 (a)(3)(iii)(C) and (D) revised; (a)(3)(iii)(E) added	41426
30.4 (a) revised	49803
30.10 Existing text designated as (a); (b) added.....	49803
31.13 (c) and (e) amended	41426
36.3 (b)(1)(i), (ii) and (c)(2) revised; (b)(2) and (3) redesignated as (b)(3) and (4); (b)(1)(iii), (iv), new (2), (c)(1) heading and (3) heading added	43294
37.5 Revised	67815
38.3 Revised	67816
40.2 Revised	67504
40.3 (a)(4) and (5) revised; (a)(6) added	67505
40.5 (a)(1)(vi) and (vii) revised; (a)(1)(viii) added	67505
40.6 (a)(3)(iv) and (v) revised; (a)(3)(vi) added	67505

40.8 Existing text designated as (b); new (a) added	67505
40 Appendix D added.....	67505
41.23 (a)(4) and (5) revised; (a)(6) added	67507
41.24 (a)(3) and (4) revised; (a)(5) added	67507
140.2 Revised	41426, 67504
140.99 Second (d)(2) removed.....	41426
143 Authority citation revised.....	52997
143.1 Revised.....	52997
143.2—143.8 (Subpart A) Designation and heading added	52997
143.2 (c) revised.....	52997
143.7 (a) revised.....	52997
143.8 (a) revised.....	52995
143.9—143.10 (Subpart B) Added	52997
145.6 (a) revised.....	41426
145.7 (h)(3) amended; (j) redesignated as (i)(7); new (j) added	67507
145.9 (e)(2) revised	67507
145 Appendices A and B amended	67507
145 Appendix D removed.....	67508
190 Policy statement	69510
190.07 (b)(3)(v) amended	41427
200.1—200.16 (Subpart A) Authority citation revised	34461
200.19a Introductory text amended.....	34461
200.30-3 (a)(7)(v) amended; (a)(7)(vi) added	34461
(a)(79), (80) and (81) added	34494
(a)(82) added	41078
(g) redesignated as (j); new (g), (h) and (i) added	41937
(a)(10)(iii) added	54190
200.30-5 (g) through and (k) redesignated as (i) through (m); new (g) and (h) added	41937
200.30-18 (c) redesignated as (c)(1); (c)(2) added	41938
200.735-5 (b)(1)(ii) and (iv) amended; (b)(1)(v) removed; (b)(1)(vi) redesignated as new (b)(1)(v); new (b)(1)(v) and (m)(3) revised.....	21058
210.3-01 (e)(1)(ii), (iii), (i)(1)(i)(B), (C), (2)(i)(B), (C) and (ii) revised	68235

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TITLE 17 Chapter II—Con.

210.3-09 (b)(3)(i)(B), (C), (4)(i)(B) and (C) revised.....	68235	240.15c3-1g Added	34467
210.3-12 (g)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....	68235	240.15c3-3A Amended.....	54190
211 Interpretive releases.....	29066	240.15d-10 (j)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....	68236
Staff accounting bulletin.....	59130	240.17a-4 (b)(12) added	34471
230.146 (b)(1)(ii), (iii) and (2) revised; (b)(1)(iv) added	43298	240.17a-5 (a)(5) and (k) through (o) redesignated as (a)(6) and (1) through (p); new (a)(5) and (k) added	34471
231 Interpretive releases.....	29066	240.17a-11 (b)(2) and (h) revised	34472
232.10 (b) revised	22709	240.17a-12 (l) revised.....	34494
232.101 (a)(1)(ix) added	22709	240.17h-1T (d)(4) redesignated as (d)(5); new (d)(4) added.....	34472
(a)(1)(vii), (viii) and (ix) amended; (a)(1)(x) added; (c)(9) revised.....	60300	240.17h-1T (d)(5) redesignated as (d)(6); new (d)(5) added.....	34494
232.104 (a) revised.....	22709	240.17h-2T (b)(4) redesignated as (b)(5); new (b)(4) added.....	34472
232.201 (a) introductory text revised.....	22710	240.17h-2T (b)(5) redesignated as (b)(6); new (b)(5) added.....	34494
232.202 (a) introductory text revised	22710	240.17i-1 Undesignated center heading and section added	34495
232.301 Revised	21955, 49805	240.17i-2 Added	34495
239 Authority citation revised.....	33269, 39807	240.17i-3 Added	34495
239.12 Form S-2 corrected.....	48371	240.17i-4 Added	34495
239.13 Form S-3 corrected.....	48371	240.17i-5 Added	34495
239.14 Form N-2 amended; eff. in part 1-31-06.....	39808	240.17i-6 Added	34495
Form N-2 amended	52801	240.17i-7 Added	34495
239.15A Form N-1A amended	22312, 33269, 49807, 52799	240.17i-8 Added	34495
Form N-1A amended; eff. in part 1-31-06	39808	240.19b-4 Preliminary note and (j) through (m) added; (a), (e) introductory text and (f)(2) revised; eff. in part 5-9-05	60300
239.17a Form N-3 amended	22314, 52802	240.31-1 Removed	41078
Form N-3 amended; eff. in part 1-31-06	39809	240.31 Added	41078
239.17b Form N-4 amended	22316	240.31T Added (temporary)	41080
239.17c Form N-6 amended	22316	241 Interpretive releases	29066, 48029
239.63 Revised	22710	242 Heading revised	48029
240.3b-3 Removed	48029	242.105 (b) amended	48029
240.10a-1 (c), (d), (e)(13) and authority citation removed	48029	242.200 Undesignated center heading and section added	48029
240.10a-2 Removed	48029	242.201 Added	48029
240.11Aa3-2 (b)(8) added; authority citation removed; eff. in part 5-9-05	60300	242.202T Added; eff. 9-7-04 to 8-6-07	48029
240.13a-10 (j)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....	68235	242.203 Added	48029
240.13k-1 Added	24024	249.11 Added	41080
240.14a-101 Amended	39807	249.220f Form 20-F amended	24024
240.15c3-1 (a)(7) undesignated center heading and (c)(13) undesignated center heading revised; (a)(7) text and (c)(13) text added; (c)(15) amended; authority citation removed	34461	249.308 Form 8-K corrected	48371
240.15c3-1e Revised.....	34462	249.308a Form 10-Q corrected	48371
		(a)(1)(ii) and (iii) revised; Form 10-Q amended	68236
		249.308b Form 10-QSB corrected	48371
		(b)(1)(ii) and (iii) revised; Form 10-K amended	68236

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249.331 Form N-CSR amended.....	52804
249.446 Revised.....	22710
249.636 Correctly removed; CFR correction.....	67053
249.819 Section and Form 19b-4 revised.....	60301
259.602 Revised.....	22710
269.7 Revised.....	22710
270 Authority citation amended	46389
270.0-1 (a)(7) added	46389
270.10f-3 (c)(3), (9), (12)(i) and (ii) amended; (c)(11) revised	46389
270.12b-1 (c) revised	46389
(a)(1), (2), (b)(2), (3)(iii), (iv), (B), (4), (e), (f) and (g) amended; (h) added.....	54733
270.15a-4 (b)(2)(vii) revised.....	46389
270.17a-7 (f) revised.....	46389
270.17a-8 (a)(4) revised	46389
270.17d-1 (d)(7)(v) revised	46389
270.17e-1 (c) revised.....	46389
270.17g-1 (j)(3) revised	46390
270.17j-1 (a)(1)(i), (2)(i), (d)(1)(i) introductory text, (ii) intro- ductory text, (iii) introduc- tory text and (2)(iv) revised; (a)(11) and (d)(2)(vi) added	41707
270.18f-3 (e) revised.....	46390
270.23c-3 (b)(8) revised.....	46390
270.30a-2 (a) and (b) amended.....	52799
270.31a-2 (a)(4) and (5) amended; (a)(6) added.....	46390
274.11A Form N-1A amended	22312, 33269, 49807, 52799
Form N-1A amended; eff. in part 1-31-06.....	39808
274.11a-1 Form N-2 amended; eff. in part 1-31-06.....	39808
Form N-2 amended.....	52801
274.11b Form N-3 amended	22314, 52802
Form N-3 amended; eff. in part 1-31-06.....	39809
274.11c Form N-4 amended.....	22316
274.11d Form N-6 amended.....	22316
274.128 Form N-CSR amended.....	52804
274.402 Revised.....	22711
275 Authority citation amended	41707
275.204-2 (a)(12), (13) and (e)(1) re- vised	41707
275.204A-1 Added.....	41708
279.1 Form ADV amended.....	41709

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403 Authority citation revised.....	33259
403.1 Revised.....	33259
403.4 (e) through (l) redesignated as (f) through (m); new (e) added	33259
<i>Proposed Rules:</i>	
1	39880, 64873
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38	39880, 53367
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229	26650, 30750, 35982, 59094, 62426, 67392
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239	21650, 25182, 26650, 30750, 67392
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242	26650, 30142, 30750, 39682, 44988
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249	17864, 21650, 23856, 25182, 26650, 30142, 30750, 34860, 53550, 59094, 62426
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